A Report for
State of California
Secretary of State
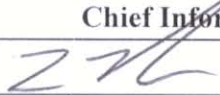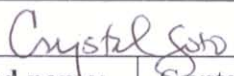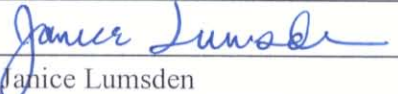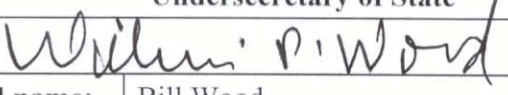
CalVoter Interim Enhancements
Feasibility Study Report (v1.2)

26 September 2005

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1.0 Executive Project Approval Transmittal

Information Technology Project Request

**Feasibility Study Report
Executive Approval Transmittal**

Bruce McPherson

Department Name

Secretary of State

Project Title (maximum of 75 characters)

CalValidator Interim Enhancements

Project Acronym	Department Priority	Agency Priority
CVD+	1	1

APPROVAL SIGNATURES

I am submitting the attached Feasibility Study Report (FSR) in support of our request for the Department of Finance's approval to undertake this project.

I certify that the FSR was prepared in accordance with State Administrative Manual Sections 4920-4930.1 and that the proposed project is consistent with our information technology strategy as expressed in our current Agency Information Management Strategy (AIMS).

I have reviewed and agree with the information in the attached Feasibility Study Report.

Chief Information Officer	Date Signed
Printed name: Lee Kercher	9-26-5

Manager of Fiscal Affairs	Date Signed
Printed name: Crystal Goto	9/27/05

Assistant Secretary of State, Chief of Operations	Date Signed
Printed name: Janice Lumsden	9/27/05

Undersecretary of State	Date Signed
Printed name: Bill Wood	9/27/05

2.0 IT Project Summary Package

2.1 Executive Summary

1.	Submittal Date	September 26, 2005

		FSR	SPR	PSP Only	Other:
2.	Type of Document	X			
	Project Number				

			Estimated Project Dates	
			Start	End
Project Title	CalVoter Interim Enhancements			
Project Acronym	CV+		09/26/05	12/29/05

Submitting Department	Secretary of State
Reporting Agency	

Project #	51007
Doc. Type	FSR

Project Objectives
Program objectives for the Interim Project include:
Standardize and synchronize data in CalVoter with data in county systems.
Reduce duplicate registrations by uniquely identifying voters.
Reduce ineligible voters from the statewide database by matching against state agency records.
Reduce duplicate registrations by including inactive voters in database.
Perform list maintenance for address changes.

Major Milestones	Est. Complete Date
Phase I: Receive FSR Approval	09/26/05
Phase II: Procure IT Staff	10/20/05
Phase III: Complete Deliverables	12/29/05
Post Implementation Evaluation Report (PIER)	12/30/06

Key Deliverables
Key Deliverables are delivered during each Phase above:
Phase I: RFP
Phase II: IT Vendor Contracts Signed
Phase III: Inactives Incorporated, Data Exchange Standards Set and Complied, Data Validation Process, CDC Interface, DHS Interface, NCOA Process
PIER to Project Management Office

Project Acceptance	12/29/05

Project #	51007
Doc. Type	FSR

Proposed Solution

Public Law 107-22, 107th Congress, known as the Help America Vote Act (HAVA), requires every state to deploy a statewide database by January 1, 2006 with prescribed functionality. The primary goals of deploying a statewide database are to ensure duplicate registrations are eliminated, and ensure only those who are eligible to vote are registered. The California SOS submitted a Feasibility Study Report (FSR) to the Department of Finance (DOF) to seek approval to deploy the required database, which will be known as VoteCal. If approved, the proposed schedule for deployment of this solution is the third quarter of 2009.

The purpose of implementing the solutions identified in this document is to increase the service level to counties by identifying potential duplicate or ineligible registrants. For instance, retention of death records at SOS will enable counties to identify potential fraudulent voters. Implementing these technical solutions will minimize voters being disenfranchised by a system that potentially could eliminate them from the rolls or put additional burdens on them (e.g., showing identification at the polls when they have already provided it or are exempt from providing it) through erroneous identification.

2.2   Project Contacts

Project #	51007
Doc. Type	FSR

Executive Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Undersecretary	Bill	Wood	916	653-3736		916	651-8295	bwood@ss.ca.gov
Chief, Elections Division	Caren	Daniels-Meade	916	657-2133		916	653-3214	cdaniels@ss.ca.gov
Manager Fiscal Affairs	Crystal	Goto	916	653-9445		916	653-8544	cgoto@ss.ca.gov
Chief Information Officer	Lee	Kercher	916	653-7735		916	653-2151	lkercher@ss.ca.gov
Project Sponsor	Janice	Lumsden	916	653-2328		916	653-4795	jlumsden@ss.ca.gov

Direct Contacts								
	First Name	Last Name	Area Code	Phone #	Ext.	Area Code	Fax #	E-mail
Primary Contact	Lee	Kercher	916	653-7735		916	653-2151	lkercher@ss.ca.gov
Project Manager	Linda	Wasik	916	653-0472		916	653-2151	lwasik@ss.ca.gov

Document Prepared by Secretary of State September 2005

2.3 Project Relevance to State and/or Department/Agency Plans

Project #	51007
Doc. Type	FSR

1.	**What is the date of your current Operational Recovery Plan (ORP)?**	**Date**	10/2000
2.	**What is the date of your current Agency Information Management Strategy (AIMS)?**	**Date**	12/2000
3.	**For the proposed project, provide the page reference in your current AIMS and/or strategic business plan.**	**Doc.**	n/a
		Page #	

		Yes	No
4.	**Is the project reportable to control agencies?**		X
	If YES, CHECK all that apply:		
	a) The project involves a budget action.		
	b) A new system development or acquisition that is specifically required by legislative mandate or is subject to special legislative review as specified in budget control language or other legislation.		
	c) The project involves the acquisition of microcomputer commodities and the agency does not have an approved Workgroup Computing Policy.		
	d) The estimated total development and acquisition cost exceeds the departmental cost threshold.		
	e) The project meets a condition previously imposed by Finance.		

2.4   Budget Information Update

Project #	51007
Doc. Type	FSR

	No	Yes
Budget Augmentation Required?	X	

If YES, indicate fiscal year(s) and associated amount:

	FY 05/06
General Fund	0

PROJECT COSTS

		FY 05/06
1.	**Fiscal Year**	**FY 05/06**
2.	**One-Time Cost**	$498,201
3.	**Continuing Costs**	
4.	**TOTAL PROJECT BUDGET**	$498,201

SOURCES OF FUNDING

5.	**General Fund**	
6a.	**Redirection (Staff)**	$20,651
6b.	**Redirection (Existing system)**	
7.	**Reimbursements**	
8.	**Federal Funds**	$477,550
9.	**Special Funds**	
10.	**Grant Funds**	
11.	**Other Funds**	
12.	**PROJECT BUDGET**	$498,201

PROJECT FINANCIAL BENEFITS

13.	**Cost Savings/Avoidances**	
14.	**Revenue Increase**	

2.5   Vendor Project Budget

Project #	51007
Doc. Type	FSR

Vendor Cost for FSR Development (if applicable)	N/A
Vendor Name	Est. redirect $5,000

VENDOR (System Integrator) PROJECT BUDGET

1.	**Fiscal Year**	**FY 05/06**
2.	**Contract Vendor Budget**	$255,000
3.	**Project Management Budget**	
4.	**IV&V Budget**	
5.	**Independent Project Oversight**	
6.	**Other Contract Services**	$ 2,550
7.	**TOTAL VENDOR BUDGET**	$257,550

2.6   Risk Assessment

Project #	51007
Doc. Type	FSR

	Yes	No
Has a Risk Management Plan been developed for this project?	X	

General Comment(s)
The Project Management Team has developed a Risk Management Plan that is detailed in Section VII of this Feasibility Study Report. The Risk Management Plan is based on State Information Management Manual (SIMM) guidelines. Key components include: Preliminary development of a Risk Management Worksheet identifying risks identified by SOS to date. The Risk Management Worksheet was completed to provide a risk assessment based on the identification, analysis, quantification, and prioritization of key project risks. The Risk Management Plan will be used on an ongoing basis to identify risks, quantify the potential impact of each identified risk, present mitigation plans and enact appropriate risk responses. Mitigation measures and contingency plans will be developed and implemented as high-priority risks are identified and monitored.

3.0 Business Case

The following identifies the business need for the technical solution described in this FSR.

3.1 Business Program Background

The program to be supported is the registration of voters, administered jointly by the Secretary of State (SOS) Elections Division (ED) and Information Technology Division (ITD). The Elections Division's primary mandate is to ensure that state and federal elections laws are fairly and uniformly administered; that every eligible citizen has barrier-free access to participate in the electoral process; and that the process remains open and free from fraud.   California's voter registration program is fundamental to that effort; voter registration is the mandatory first step to participation in the electoral process. Maintaining accurate records of all legally registered citizens is critical to ensuring the integrity of all official elections conducted in this state. To fulfill the purposes of the voter registration program the state and local elections officials:

- ❑ Process voter registration cards.
- ❑ Verify voter eligibility.
- ❑ Notify voters of their voter registration status.
- ❑ Update voter registration records with data received from multiple sources, including returned voter registration cards, direct communication from registrants, and electronic data received from state agencies.

Currently, the official voter file is maintained by the elections official in each of the 58 counties. The SOS maintains a statewide database of all active voters; this database is known as CalVoter. The CalVoter database contains some of the same data as the county voter records. However, it does not contain all of the data needed for it to be the official list, including records of inactive voters. CalVoter is updated through periodic submissions of data from the counties.

The CalVoter system was originally designed to help support counties in their list maintenance efforts, providing them with tools and services that help identify duplicate voter registrations and outdated or inaccurate addresses.

One of the methods the SOS employs to achieve this goal is to collect voter registration information from each of the counties and match registrations across counties to identify potential duplicates. The SOS also matches registration data against California driver's licenses (CDL) and California identification (CA ID) numbers acquired from the Department of Motor Vehicles (DMV) to identify potential duplicates by matching various data points. Once duplicates are identified, the SOS sends a notice to each of the counties notifying them of potential duplicates. The counties then perform research to determine whether the record is indeed a duplicate, and cancel the record if it is. Since the

CalVoter database is only a repository of the data that counties send to it, if the county does not eliminate the duplicate record, it will continue to reside in the CalVoter database.

3.2 Business Problem

Public Law 107-22, 107th Congress, known as the Help America Vote Act (HAVA), requires every state to deploy a statewide database by January 1, 2006 with prescribed functionality. The primary goals of deploying a statewide database are to ensure duplicate registrations are eliminated, and ensure only those who are eligible to vote are registered. The California SOS submitted a Feasibility Study Report (FSR) to the Department of Finance (DOF) to seek approval to deploy the required database, which will be known as VoteCal. If approved, the proposed schedule for deployment of this solution is the third quarter of 2009.

The United States Department of Justice (USDOJ), which is the entity responsible for enforcing HAVA, visited with the California SOS office three times this calendar year to discuss SOS' proposed solution. The USDOJ expects SOS to take interim steps to achieve partial HAVA compliance before January 1, 2006. As the enforcement authority for HAVA, and with respect to compliance with the HAVA mandate for each state to create a statewide voter registration database, USDOJ has notified the office via a May 25 letter that it takes its enforcement responsibilities "very seriously." In addition to the formal communications and meetings with SOS, the USDOJ has had several telephone conversations with staff at SOS clarifying its position. Below are the issues for which the USDOJ expects the SOS to provide an interim technical solution by January 1, 2006:

1. *Synchronize data in CalVoter with data in county systems.* Ensuring decisions about eligibility to vote, issuance of ballots, and acceptance or rejection of provisional ballots are made based on data in an official list that is defined, maintained and controlled by the state is a key goal of HAVA. Currently, counties do not upload all the HAVA- and National Voter Registration Act (NVRA)-required data (e.g., whether identification was verified, whether inactive voters are returned to active status at the appropriate time) to CalVoter. As a result, there is a discrepancy between the data contained in the statewide database and each county's election management system (EMS).

2. *Standardize data in CalVoter*
   In addition to not currently sending all the HAVA- and NVRA-required data, the data counties send is not standardized. CalVoter currently accepts data in non-standard formats. Incongruent data elements minimize SOS' ability to perform comparisons across counties. Together, these discrepancies prevent counties from being able to make decisions based on a complete official list residing at the Secretary of State's office.

3. *Reduce duplicate registrants and ineligible voters from the statewide database by matching against state agency records.* HAVA requires the removal of ineligible

voters from the voter registration database. Ineligible voters include the deceased and felons or those who are on parole for a felony.

Death records are currently acquired from the Department of Health Services (DHS) and are parsed and sent to the county in which the person died. If a match is found, the county removes the registrant's record from its database. Death records are not currently retained by SOS, which means that new registrations cannot be checked against records of the deceased to identify potential fraudulent registrations.

Currently, the California Department of Corrections (CDC) does not provide records of felons or persons on parole to SOS.

4. *Reduce duplicate registrations by including inactive voters in database.* Currently, counties do not send records of inactive voters to CalVoter. Inactive voters are those who have failed to vote in successive general elections. Although these voters may have changed residence, and even possibly re-registered, the law does not permit removal of a registrant from the voter rolls for failure to vote. Without access to the counties' inactive voter file, the SOS' ability to identify potential duplicate registrations across counties among records of the inactive and active voters is non-existent. There are an estimated 15 million records of inactive voters throughout the state.

5. *Perform list maintenance for address changes.*

Section 303(a) of HAVA and Section 8 of NVRA require list maintenance to be performed. Since CalVoter was not developed to perform list maintenance and because it does not currently have the capability of checking to ensure counties have performed appropriate list maintenance, SOS does not know when and if each county updated its EMS or when list maintenance—including change of address—is performed. Currently, only some counties avail themselves of a SOS service to match data against the U.S. Postal Service's National Change of Address (NCOA) program. To be HAVA compliant, all counties must update their records with change of address information.

3.3   Business Objectives

The purpose of implementing the solutions identified below is to increase the service level to counties by identifying potential duplicate or ineligible registrants. For instance, retention of death records at SOS will enable counties to identify potential fraudulent voters. Implementing these technical solutions will minimize voters being disenfranchised by a system that potentially could eliminate them from the rolls or put additional burdens on them (e.g., showing identification at the polls when they have already provided it or are exempt from providing it) through erroneous identification.

The long-term benefit of undertaking this project now is that each activity will be a valuable product individually when the VoteCal solution is deployed. Most importantly, completing this project before January 1, 2006 demonstrates California's commitment to meeting the HAVA mandates.

4.0 Baseline Analysis

Please refer to the VoteCal Feasibility Study Report v3.0 dated July 15, 2005.

5.0 Proposed Solution

The following project addresses the business problems identified in the 'Business Case' section of this document. Specifically, the proposed solutions described below will 1) improve data quality and uniformity and 2) reduce duplicate and ineligible voters from the rolls.

The primary method to address these issues is to hire programmers to enhance the existing statewide database so that it:

1) can accept all HAVA- and NVRA-required data elements and apply edits to data submitted by the counties to increase data consistency;
2) interfaces with the California Department of Corrections and Rehabilitation (CDC) to acquire felon data.
3) has a dedicated "area" for records of felons and the deceased to be separately retained much like each county has its own "area" in CalVoter now.
4) can store and process records of inactive voters.

5.1 Solution Description

The SOS developed an approach to meet the HAVA mandates and USDOJ expectations. The project, which is described in more detail below, consists of these activities:

1. Capturing HAVA- and NVRA-required data and enforcing data standards so that records from the counties can be matched against each other.
2. Developing an interface with the CDC and establishing a "county" of felons so that county voter registration records can be matched against this discrete group.
3. Establishing a "county" of the deceased from the Department of Health Services (DHS) records so that county voter registration records can be matched against this discrete group.
4. Acquiring inactive records from the counties, and acquiring sufficient hardware for storage and ensuring performance does not degrade when the additional records are added.
5. Acquiring national change of address data and providing it to the counties for list maintenance purposes.

1. *Capturing HAVA- and NVRA-required data and enforcing data standards in county record submissions.* HAVA and NVRA require counties to capture data about many facets of a voter including the voter's voting history, responses to address verification notices, identification verification, voting status, and more. Some, but not all, of the collected data is uploaded to CalVoter. SOS will, through regulation, require counties to send this data with each upload on the same business day changes are made to the EMS. Currently, CalVoter does not have a sufficient number of fields for each of the data elements that are collected by the counties. To enable CalVoter to accept all the HAVA- and NVRA-related data, SOS will contract with programmers who will

condense the many data fields counties send into a few so that they can be housed in existing CalVoter data fields.

The SOS created data standards when it implemented CalVoter. As county EMSs have been modified over time, adherence to data standards has diminished. To increase compliance with the standards, SOS will notify counties of the compliance requirement. The programmers contracted by SOS will create a front-end filter to CalVoter that uses the data standards to evaluate records submitted by counties. When the filter identifies a record with noncompliant data, a notice of the noncompliance will be sent to the county. The county will then need to correct its record and resubmit the corrected record to CalVoter.

To ensure continuous compliance, each of the EMSs must be modified to ensure data sent in the future comports with the established data standards. Each county will be required, through regulation, to modify its EMS to comply with these standards. Preliminary discussions with several of the EMS vendors indicate that the work to become compliant is not a technological challenge. As a result, the SOS believes that most EMSs can easily be made compliant. However, should an EMS not be able to comply with the data standards, counties using that EMS will be migrated to a compliant EMS through the separate VoteCal project.

2. *Establishing a "county" of the deceased.* Currently, DHS periodically sends records of deceased persons to SOS, where the records are automatically parsed by address and sent to the county in which the person died to determine whether a match exists. The SOS does not currently retain records sent by the DHS. Once the record is sent to the county identifying a potential ineligible voter, SOS discards the data.

   The programmers on contract with SOS will create a new "county" in the CalVoter database that will house all the records of deceased persons sent by DHS. In addition to parsing the records and sending them to counties, duplicate checks will be run against this "county" from every other county each time duplicate checks are run. Together, these steps will enable counties to identify existing registrants who have recently died, and identify new registrants who appear to be deceased (i.e., potential fraudulent registrations). The SOS staff monitoring this new "county" will re-route duplicate check notices from this "county" to the appropriate county to check against its database.

3. *Developing an interface with CDC and creating a "county" of felons.* The SOS does not currently receive records of felons to match against its database to identify potential ineligible voters, as HAVA requires. To do so, programmers on contract with SOS will work with CDC staff to build a single logical interface file in an XML format. SOS and CDC have already exchanged the record file layout and the CDC has identified the data elements it intends to send to SOS.

   In addition to building the interface, SOS' contracted programmers will need to create a new "county" in which the felons' information will be housed.

Once the "county" is built, CDC will send data to SOS by the 10th of each month for the previous month. Data that the CDC will be providing (e.g., name, date of birth, and last four digits of SSN) will enable SOS to uniquely identify the felon by matching against the other counties in its regularly scheduled duplicate checks. The SOS staff monitoring this new "county" will re-route duplicate check notices to the appropriate county (as an FTP file) to validate against its database. There are approximately 426,000 felons—including those on parole—currently in CDC files with an additional 10,000 felons added each month. Data from CDC will identify when the felon status has been eliminated to ensure SOS' records do not contain outdated information when someone on the list registers to vote.

4. *Acquiring inactive records; acquiring sufficient hardware to process records.* Historically, counties have not provided records of inactive voters to SOS. To reduce the duplicate registrations throughout the counties, the SOS will require each county--through regulation--to submit records of its inactive voters each time it sends updates to SOS. These records will be included in the universe of records when duplicate checks are run. The SOS has successfully tested to ensure that CalVoter can read the inactive status. Programming will be undertaken to ensure that labels for ballot pamphlets and public service requests do not include inactive voters. The addition of the estimated 15 million records of inactive voters—a 100 percent increase in existing records—is expected to slow processing considerably. To help ensure processing time does not diminish beyond what is acceptable, SOS will purchase memory, disk drives, and servers to house these records and run processes.

5. *Providing change of address notifications to all counties.* Currently, counties employ a variety of techniques to be alerted that a registrant moved. One method is to subscribe to a service that sends a notice when someone residing in a particular jurisdiction moves. Only some of the counties avail themselves of this service that SOS provides on behalf of the counties. As a result, not all counties know when a registrant moves. The USDOJ believes the state needs to ensure counties know when registrants move and should therefore subscribe to the national change of address (NCOA) service on behalf of all counties.

The SOS will purchase a subscription to NCOA and based on the zip code, parse the data by county and send the data electronically to each county. To be able to do this, the SOS needs to have its programmers develop computer procedures and interfaces to allow voter registration records to be checked against national change of address data. Once the data is parsed, the county will review the data and make a determination of whether a registrant needs to be removed from its list.

In addition to the technical project identified in this FSR, the SOS will promulgate regulations that require counties to take specified actions to increase the accuracy and completeness of voter records. Since the regulations are not dependent upon the technical solutions identified above, the regulations are not enumerated in this FSR.

To accomplish the project identified above, the SOS will need to undertake a number of major activities, which are listed below.

Hardware
To house and process the inactive, felon, and deceased records without diminishing performance, the SOS will acquire memory, disk drives, and servers to store and process the additional records.

Counties and partnering state agencies should not need additional hardware to send records they already store.

Software
No major commercial off-the-shelf software will be purchased or developed for the project. The SOS will hire programmers to make modifications to existing software.

The SOS will act as the system integrator and oversee the work of staff and contracted programmers.

Programmers will be hired by SOS to make modifications to its existing software. Their work will:

- Capture all HAVA- and NVRA-related data and enforce data standards
- Create a "county" in which records of the deceased will reside
- Build an interface with CDC to enable the SOS to acquire records from the CDC
- Create a "county" in which felons' voter registration records will reside
- Ensure counties receive the appropriate notification for registrants who have moved

The DHS will not need to make any software programming changes to continue to send files as this data exchange has been operational for some time.

The CDC will build an interface to the SOS that will provide specified data elements (e.g., name, last four digits of SSN, date of birth) to ensure an exact match. Extracts will be provided to the SOS by the 10th of each month for the previous months' activities.

Each county may need to make modifications to its EMS to adhere to required data standards, send inactive records to the SOS, and increase the frequency of uploads to SOS. There are currently 10 different EMSs in use in California. Should a vendor not be able to modify its EMS to meet the requirements, counties using that EMS will be migrated to a compliant EMS. This work is further described in the VoteCal project.

Technical Platform/Network/Development Approach
Neither the network nor technical platform need to be changed to accommodate the proposed solution.

Integration

The SOS will serve as the system integrator. As such, the SOS will work closely with the DMV, CDC, and DHS to ensure the interfaces being built or enhanced meet the defined goals.

Procurement Approach
The SOS has contracted with a vendor who is a certified Project Manager to coordinate and manage the efforts identified above.

The SOS will conduct a competitive procurement, through the California Multiple Award Schedule (CMAS), to acquire programmers' services. The SOS will provide a Statement of Work to at least three firms immediately upon approval of this FSR. Since this work must be completed by January 1, 2006, CMAS was chosen as the procurement approach to shorten the procurement time while ensuring competitiveness in the process.

On July 27, 2005, a representation of counties received a copy of the Interim Plan that was sent to the USDOJ on July 18, 2005. When reviewing the concepts, counties represented that they supported the approach, understanding they will need to make changes to their EMSs. To do so, counties may need to enter into or amend existing agreements with their EMS vendors to make the requisite changes (e.g., sending inactive records to CalVoter with other uploads, submitting data in accordance with data standards, submitting HAVA- and NVRA-related data, sending uploads the same day that changes were made to the county EMS). Since these are modifications to existing systems and fall into the category of maintenance, counties may be able to use existing maintenance agreements to accomplish this task.

The hardware will also be competitively procured through CMAS.

Technical Interface
The existing interface with DHS will not be changed. An interface between SOS and CDC will be built.

Testing
Testing for the changes will include unit, system/integration, acceptance, and load and performance testing. The SOS team will develop test scripts, track results, and implement error resolution procedures.

Testing will enable the SOS to determine whether it will achieve the goals of this project. Specifically, testing will determine whether CalVoter can process the increased volume of records expected with the addition of the inactives, felons, and deceased records in the timeframe needed. Testing will also play a crucial role in determining whether additional "counties" can be added to CalVoter.

Resource requirements
The proposed solution requires the redirection of existing staff to perform the system integrator, project manager, and team member functions. These staff will need to possess the following experience or knowledge:

- Project management experience
- System integration experience
- Programming experience
- Subject matter expertise
- IT subject matter expertise

Training plan
Since the activities identified above will result in enhancements that are extremely similar to existing functionality, the SOS does not anticipate the need to conduct, or provide for, training.

On-going maintenance
Maintenance will need to be performed on the new interface with the CDC. Maintenance for the existing interfaces will continue, as will maintenance for the county EMSs, which should remain largely unchanged. Maintenance workload for the CalVoter system will increase with its expanded functionality and usage level. This support will be absorbed by existing staff.

Information Security
Existing security protocols will continue to exist upon completion of these changes. The CDC interface will be implemented in conformance with SAM requirements and industry best practices for security.

Impact on users and systems
End users should not be negatively impacted by the planned changes. In fact, the end users will benefit from removing ineligible voters from the rolls in that county systems will contain fewer records (and potentially improve processing time), and the counties will not be sending sample ballots to people who will not be voting in their county.

Counties will be impacted if the existing EMS vendors do not adhere to the established data standards as counties will need to modify their EMSs to adhere to these standards.

Consistency with overall strategies
The proposed solution is consistent with the objectives of the SOS' Agency Information Management Strategy (AIMS).

Impact on current infrastructure
There should be no impact on the current infrastructure.

Impact on data center
There will be no impact on the data center. CalVoter operates at SOS.

Data center consolidation
Since this is not a new system and CalVoter is housed at SOS, no move to the data center is planned. (The long-term solution, known as VoteCal, will be housed at the state's data center.)

Backup and operational recovery
The SOS' current disaster recovery routines will cover the proposed project.

Public access
There is no direct public access to CalVoter. These enhancements will not change that status.

Sources of Funding
Congress provided funding to states to meet the HAVA mandates. All of the expenses will be paid for with available HAVA funds. The funds approved by the Legislature for expenditure on the statewide database will not be used for this project.

5.2 Rationale for Selection

The project was planned in such a way as to minimize risk of failure and maximize the chance of meeting HAVA requirement expectations by January 1, 2006.

In addition to the immediate benefits identified above, the project will benefit the SOS in the long-term. The project will 1) increase the cleanliness of the data so that when the VoteCal solution is deployed, data conversion will be less problematic; 2) result in functioning technical interfaces with DHS and CDC that can also be used with the VoteCal solution; and 3) ensure the agreements and relationships with DHS and CDC are established and refined before the VoteCal project is initiated. By undertaking this now, SOS will have fewer issues to address when VoteCal is deployed.

5.3 Other Alternatives Considered

A number of alternatives were considered before SOS made a decision to pursue the approach outlined in this FSR.

Manual
Manual processing does not provide the level of control envisioned by HAVA or the USDOJ.

Develop new system
Developing a new system is the best alternative to meet all of the HAVA mandates, but the SOS cannot procure and deploy that system before January 1, 2006. (The SOS intends to pursue this solution and has submitted an FSR to DOF that projects deployment in August 2009.) In the interim, the USDOJ indicated that it expects the SOS to make modifications to the existing system.

Purchase Commercial-off-the-shelf (COTS) Software
A market search revealed that there is currently no COTS available that meets the HAVA mandates and SOS' business objectives.

The SOS believes that the solutions identified in the FSR are the best means to achieve the goals in the timeframe prescribed.

6.0 Project Management Plan

The Secretary of State's (SOS) office recognizes that a structured approach to project management is required to ensure the successful implementation of the project described in this FSR.

6.1 Project Manager Qualifications

An experienced project manager is critical to the success of any project. It is the project manager's responsibility to ensure the project comes in on time, within budget and meets functional requirements. The SOS will assign a certified project manager to plan and oversee the implementation of the project. The expectation is that she will use industry standard tools to manage the project.

6.2 Project Management Methodology

SOS will comply with the State's Project Management Methodology as defined in SIMM Section 200, or a comparable standard.

6.3 Project Organization

The project will involve numerous stakeholders in the planning, decision-making, issue resolution, implementation, tracking, and reporting processes related to project activities.

Since the project is deemed to be low risk, there will not be independent project oversight, independent verification and validation, or other external oversight. There will, however, be internal oversight provided by SOS' Project Management Office.

The team will be comprised of the Project Sponsor (Assistant Secretary of State, Operations) who provides high-level guidance; a Stakeholder Advisory Committee comprised of key county staff who will be apprised of project progress and whose input will be solicited; a Project Director who is responsible for the overall success of the project, and a certified Project Manager who is responsible for the day-to-day decision-making on the project. The Project Manager will be augmented with an SOS team of ITD staff who will work with contractor staff to undertake the programming activities.

6.4 Project Priorities

In this project, the federal government defined the schedule. The federal government also defined the minimum scope. Therefore, the schedule is constrained. The scope is accepted, and the resources are improved.

6.5 Project Plan

Scope
The scope of the project includes these activities:
a) Capturing HAVA- and NVRA-required data and enforcing data standards so that records from the counties can be matched against each other.

b) Developing an interface with the CDC and establishing a "county" of felons so that county voter registration records can be matched against this discrete group.

c) Establishing a "county" of the deceased from the DHS records so that county voter registration records can be matched against this discrete group.

d) Acquiring inactive records; acquiring sufficient memory and disk drives.

e) Acquiring national change of address data and providing it to the counties.

Assumptions

Assumptions used to develop the plan include:

a) These solutions must be operational by January 1, 2006.

b) The USDOJ accepts the proposed interim solution as the best technical solution that SOS can accomplish by the January 1, 2006 deadline.

c) The Department of General Services will complete its review and approve all contracts within 10 business days of submission.

d) Experienced programmers are available to provide the services to SOS and the CDC in the timeframe established.

e) SOS can enter into a contract with the contracting firm within two weeks of FSR approval.

f) Sufficient SOS resources, including subject matter experts, are available to participate on the project team.

g) Each of the other state agencies involved can successfully procure contractors, as needed, and manage the project to successful completion by the deadline.

h) The CalVoter system can process the additional records.

i) Problem/issue resolution will be handled on a timely basis.

j) Proactive risk management strategies will be employed to minimize risk and ensure timely completion of the project.

Project Phasing

A project schedule will be developed for the project that will clearly identify the critical path for the project. Subsequent activities will not be undertaken until dependencies are completed.

Roles and Responsibilities

- *Project Management Office* will provide internal independent oversight of the project. The PMO Director reports to the Assistant Secretary of State, Operations.

- *Project Sponsor* assures project ownership at the highest level within SOS and provides policy leadership and oversight as needed. The Assistant Secretary of State, Operations will serve as the Project Sponsor; this position reports to the Undersecretary.

- *Project Director* is responsible for the overall success of the project. The Information Technology Division Chief will serve as the Project Director. The Project Director reports to the Assistant Secretary of State, Operations.

- *Project Manager* is responsible for day-to-day success of the project and is accountable to the Project Director. A certified Project Manager on contract with the SOS will serve as the Project Manager.

- *Project Team members* will have assigned responsibilities.
- *Contractors* will be used to undertake most of the programming at the direction of the Project Manager.
- *Subject Matter Experts* from the Elections Division will provide guidance before programming is initiated and direction as needed throughout the project.

Schedule

The schedule below identifies the timeframe in which each of the major activities will be undertaken.

ID	Task Name
1	**FSR Approval**
2	Internal Approval of FSR
3	**Procure IT Staff**
4	Develop Statements of Work
5	Approve SOW's
6	Advertise & receive bids
7	Conduct Interviews and select bidders
8	Execute Contracts
9	**Incorporate Inactives to CCROV**
10	Draft/send notice to Ctys to send Inactives
11	Resolve and Notify Cty Vendors of Funding Decisions
12	Cty Vendors modify systems to send Inactives
13	Procure hardware for increase data
14	Make software changes to receive Inactives
15	**Inactives in Test**
16	Receive Inactives into the Test Environment
17	System test functionality, performance
18	Modify environment - performance tune, etc
19	**Receive Inactives into Production**
20	Plan Import of Inactives into Production
21	Receive Inactives into Production
22	Run Duplicate check
23	**Data Exchange Standards**
24	Identify additional data elements to incorporate
25	Identify location in record
26	Create Updated Data Standards (strawman)
27	Distribute strawman to Ctys and Cty Vendors
28	Resolve and Notify Cty Vendors of Funding Decisions
29	Schedule Cty workshop re:new data elements
30	Conduct workshop to resolve new data standards
31	Finalize Standards
32	Publish Standards
33	**County EMS Modification to Comply w/Data Exchange Standard**
34	Vendors to modify EMSs to comply with Standards
35	Test modifications with pilot systems
36	Cnty Vendors to deploy modifications to all systems
37	Test all counties for adherance to new Data Standards
38	**Data Validation Process**
39	Design module to validate data prior to entering CCROV
40	Develop & test data validation module
41	System Test Module w/new Cty files
42	Implement Process in Production
43	CCROV notices sent to Ctys
44	**Driver License Confirmations**
45	Negotiate for DC Huge w/DMV
46	Generate MOU for DC Huge
47	Obtain DC Huge from DMV
48	Run DC Huge against CCROV
49	Create and send DL extracts to Ctys
50	Ctys to apply DL suggestions
51	**CA Dept of Corrections Interface**
52	Finalize Interface requirements with CDC
53	Generate IAA with CDC
54	**CalVoter Interface**
55	Define Requirements for CDC Interface
56	Define Requirements for "County of Felons"
57	Develop processes and Interface
58	CDC develops processes and interface
59	Integration testing with CDC
60	Deploy Interface into Production
61	**Documentation**
62	Document interface between CDC and CalVoter
63	Document instructions to Ctys for CDC Output
64	**CA Dept of Health Services Interface**
65	Define Requirements for "County of the Dead"
66	Develop processes
67	Integration Testing
68	**Documentation**
69	Document change in processing
70	Document instructions to Ctys for DHS Output
71	Deploy into Production
72	**NCOA Process**
73	Develop Requirments
74	Research Vendors meeting requirements
75	Negotiate Contract with Vendor
76	Sign Contract with Vendor
77	Obtain System
78	Install System
79	Integration Testing
80	Acceptance Testing
81	Formal Acceptance of System

6.6   Project Monitoring

Although this is a critical project for the SOS to successfully complete on time, based on DOF's risk analysis computation in the Information Technology Project Oversight Framework, this is considered a low risk project. Therefore, the SOS will use an in-house PMO that reports to the Assistant Secretary of State for Operations to monitor the project.

6.7   Project Quality

The Project Manager will develop a quality assurance plan for the project. Additionally, SOS' PMO will monitor project quality.

6.8   Change Management

Due to the special election called for November 2005, county elections officials will likely have difficulty assigning staff to be available to answer questions, perform tests, and participate as part of the team who will implement this project. As a result, the SOS will need to develop a structured communication approach with the counties. Frequent and clear communication will need to occur so that the counties maximize efficient use of time and resources, and participate when the SOS needs them to participate in activities that need to be undertaken on this project. The SOS will develop a Communications Plan to address this, and other issues.

6.9   Authorization Required

There is no special authorization required beyond the standard State processes as defined in SIMM guidelines and DGS policies.

7.0   Risk Management Plan

In order to reduce the overall risk for the project, the SOS has developed the following risk management approach based on State Information Management Manual (SIMM) guidelines. The methodology of the Risk Management Plan will be consistent with the State of California's Project Management Methodology and the Department of Finance's Information Technology Project Oversight Framework.

7.1   Risk Management Approach

The short duration of the project reduces the opportunities for the issues to arise that are typically experienced on large projects. For example, problems are often minimized or hidden on larger projects, and the effects of the problems are not felt until much later in the project lifecycle at which time the problem has increased its negative impact. The effect of any unaddressed problem is realized much sooner on smaller projects. In essence, it is very difficult to not quickly address problems on small projects. Shorter timeframes reduce project risk by forcing solutions earlier in the project lifecycle. The SOS will be proactively monitoring the project schedule for slippage as an indicator of project problems that have not yet been addressed.

The project plan will include check points that will force a discussion of whether the SOS should proceed. For example, the plan may define the minimal performance levels for processing duplicate checks so that the SOS team knows that if the performance falls short of that level, the team must evaluate whether the duplicate check should continue to be run. Including these 'off/on' decision points in the project plan sends a signal to the team that making a decision to stop a project can have a positive effect on the project. It also reminds the team the level of acceptable risk. Often times, in the midst of the project, it is easy for the team to change the definition of an unacceptable risk as they have vested a significant amount of time and energy into a project. Designing the project plan with a pre-determined level of risk minimizes the chance that the definition will change mid-course.

The following sub-sections detail the parties who will be responsible for risk management and the process they will follow.

7.2   Risk Management Worksheet

The risk management worksheet was completed to provide a risk assessment based on the identification, analysis, quantification, and prioritization of key project risks.

Table 1. Risk Management Worksheet

Risk Category/Event	Prob.	Assumptions	Preventive Measures	Contingency Measures
Stakeholder Participation				
Unanticipated lack of participation by one or more of the State validation/list maintenance interface Agencies (DHS, CDC)	Low - .20	State agencies will support the Secretary in complying with federal HAVA mandates by performing programming needed to make their records available in a format that is readable by CalVoter.	The Project Director will communicate regularly with Agency leadership to help facilitate cooperation. SOS will fund the development of interfaces and additional resources required by Agencies to achieve project objectives.	SOS converts agencies' data to CalVoter format.
Staffing				
Access to skilled State IT workers	Medium - .50	Skilled SOS IT staff are available to support this project. Skilled DHS and CDC IT staff are available to support this project.	Hire contractors to ensure sufficiently skilled IT staff are available. Coordinate with DHS and CDC CIOs to ensure necessary IT staff members are available.	Employ state IT staff to do coding.
Availability of sufficient county vendor resources	Medium - .70	County vendors provide sufficient project support.	Initiate conversations with county EMS vendors early in the process.	SOS contract with county EMS vendors directly.
Continuity of State business project personnel throughout the life of the project	High - .90	SOS Elections Division staff will not have competing priorities (e.g., shepherding voting systems through certification process).	Create detailed estimates of resource demands in advance. Communicate resource demands to senior executives as early as possible.	Reprioritize staff to this project.

Risk Category/Event	Prob.	Assumptions	Preventive Measures	Contingency Measures
Schedule				
Short time frame for implementation	High - .80	SOS and county staff are available to support this timeframe. Vendors have the resources available to support this timeframe.	Frequent pre-planned check points with predetermined definitions of success to determine whether to proceed.	Adjust the scope as necessary.
Technology Risks				
Capacity to process additional records without performance degradation	Medium - .50	Additional hardware will enable CalVoter to process additional records in a timely fashion.	Establish criteria for unacceptable performance before testing begins. Process a large county (e.g., Los Angeles) or group of small counties separately to reduce impact.	Eliminate functionality to process records of inactive voters, and records of deceased or felons/parolees.
Software's ability to perform functions it does not currently perform (e.g., run duplicate check against newly added "counties")	Medium - .50	CalVoter vendor's proposed fix to add counties, due August 2005, is deployed on time and works as intended. Wrap-around fixes address problems.	Communicate with vendor and explain significance of having this functionality on time. Hire experienced programmers to write wrap-around code.	Convert existing "extra" counties to perform as counties containing felon and death records.
County election management systems can perform the functions identified in this FSR.	Low - .20	Each EMS is capable of performing these additional functions.	Discuss additional functionality immediately with EMS vendors	Migrate counties whose EMS cannot perform additional functions.

7.3   Risk Response and Control

The Project Plan will include a system for tracking identified risks through all phases of the project. The risk tracking system will include a database tool that:

1) assigns a unique number to each risk;
2) tracks the assigned ratings, as well as efforts to mitigate the risk; and
3) provides the capability to review and report on risks to the rest of the Project Team.

8.0   Economic Analysis Worksheets

Department: Secretary of State

EXISTING SYSTEM/BASELINE COST WORKSHEET
All costs to be shown in whole (unrounded) dollars.

Project: Cal-Voter Interim Enhancement

	FY 2005/06 PYs	FY 2005/06 Amts	FY 2006/07 PYs	FY 2006/07 Amts	FY 2007/08 PYs	FY 2007/08 Amts	FY 2008/09 PYs	FY 2008/09 Amts	FY 2009/10 PYs	FY 2009/10 Amts	FY 2010 PYs
Continuing Information Technology Costs											
Staff (salaries & benefits)	1.6	136,937	1.6	136,937	0.0	0	0.0	0	0.0	0	0.0
Hardware Lease/Maintenance		161,157		161,157		0		0		0	
Software Maintenance/Licenses		250,459		250,459		0		0		0	
Contract Services		32,391		32,391		0		0		0	
Data Center Services		466,000		466,000		0		0		0	
Agency Facilities		0		0		0		0		0	
Other - Fixed Costs		17,111		17,111		0		0		0	
Total IT Costs	1.6	1,064,055	1.6	1,064,055	0.0	0	0.0	0	0.0	0	0.0
Continuing Program Costs:											
Personal Services	29.0	2,603,000	29.0	2,603,000	0.0	0	0.0	0	0.0	0	0.0
Other - OE&E		371,000		371,000		0		0		0	
Other - SIE		8,959,000		8,959,000		0		0		0	
Total Program Costs	29.0	11,933,000	29.0	11,933,000	0.0	0	0.0	0	0.0	0	0.0
TOTAL EXISTING SYSTEM COSTS	30.6	12,997,055	30.6	12,997,055	0.0	0	0.0	0	0.0	0	0.0

Assumptions:
Baseline Costs only include those related to Calvoter, not to the County Voter Registration/Election Management Systems
Staffing and associated salaries are assumed to remain constant.
Continuing Information Technology Costs are assumed to remain constant.
Continuing Program Costs reflect entire Elections Division program.

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PROPOSED ALTERNATIVE: Cal-Voter Interim Enhancement

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Department: Secretary of State
Project: Cal-Voter Interim Enhancement

All Costs Should be shown in whole (unrounded) dollars.

	Implementation M&O FY 2005/06		FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	
One-Time IT Project Costs													
Staff (Salaries & Benefits)	0.2	20,651	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	
Hardware Purchase		40,000		0		0		0		0		0	
Software Purchase/License		10,000		0		0		0		0		0	
Telecommunications		0		0		0		0		0		0	
Contract Services													
Software Customization		425,000		0		0		0		0			
Project Management		0		0		0		0		0			
Project Oversight		0		0		0		0		0			
IV&V Services		0		0		0		0		0			
Other Contract Services		2,550		0		0		0		0			
TOTAL Contract Services		427,550		0		0		0		0			
Data Center Services		0		0		0		0		0			
Agency Facilities - Location for Project Team		0		0		0		0		0			
Other - Training and Travel		0		0		0		0		0			
Total One-time IT Costs	0.2	498,201	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	
Continuing IT Project Costs													
Staff (Salaries & Benefits)	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	
Hardware Lease/Maintenance		0		0		0		0		$0		0	
Software Maintenance/Licenses		0		0		0		0		$0		0	
Telecommunications		0		0		0		0		$0		0	
Contract Services		0		0		0		0		$0		0	
Data Center Services		0		0		0		0		$0		0	
Agency Facilities		0		0		0		0		$0		0	
Other - Training		0		0		0		0		$0		0	
Other - External Agency Interface Maintenance		0		0		0		0		$0		0	
Total Continuing IT Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	
Total Project Costs	0.2	498,201	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	
Continuing Existing Costs													
Information Technology Staff	1.6	136,937	1.6	136,937	0.0	0	0.0	0	0.0	0	0.0	0	
Other IT Costs		927,118		927,118		0		0		0		0	
Total Continuing Existing IT Costs	1.6	1,064,055	1.6	1,064,055	0.0	0	0.0	0	0.0	0	0.0	0	
Program Staff	28.3	2,537,297	29.0	2,458,236	0.0	0	0.0	0	0.0	0	0.0	0	
Other Program Costs		9,330,000		9,330,000		0		0		0		0	
Total Continuing Existing Program Costs	28.3	11,867,297	29.0	11,788,236	0.0	0	0.0	0	0.0	0	0.0	0	!
Total Continuing Existing Costs	29.9	12,931,351	30.6	12,852,291	0.0	0	0.0	0	0.0	0	0.0	0	(
TOTAL ALTERNATIVE COSTS	30.1	13,429,553	30.6	12,852,291	0.0	0	0.0	0	0.0	0	0.0	0	(
INCREASED REVENUES		0		0		0		0		0		0	

PROJECT FUNDING PLAN

Department: Secretary of State
Project: CalVoter Interim Enhancement

All Costs to be in whole (unrounded) dollars

Date Prepared: 09/06/05

	FY 2005/06		FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		TOTALS	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
TOTAL PROJECT COSTS	0.2	498,201	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.2	498,201
RESOURCES TO BE REDIRECTED														
Staff	0.2	20,651	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.2	20,651
Funds:														
Existing System		0		0		0		0		0		0		0
Other Fund Sources		0		0		0		0		0		0		0
TOTAL REDIRECTED RESOURCES	0.2	20,651	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.2	20,651
ADDITIONAL PROJECT FUNDING NEEDED														
One-Time Project Costs	0.0	477,550	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	477,550
Continuing Project Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
TOTAL ADDITIONAL PROJECT FUNDS NEEDED BY FISCAL YEAR	0.0	477,550	0.0	0	0.0	0	0.0	0	0.0	0	2.7	0	2.7	477,550
TOTAL PROJECT FUNDING	0.2	498,201	0.0	0	0.0	0	0.0	0	0.0	0	2.7	0	2.9	498,201
Difference: Funding - Costs	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	2.7	0	2.7	
Total Estimated Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0

ADJUSTMENTS, SAVINGS AND REVENUES WORKSHEET
(DOF Use Only)

Department: Secretary of State
Project: CalVoter Interim Enhancement

Date Prepared: 09/06/05

Annual Project Adjustments	FY 2005/06		FY 2006/07		FY 2007/08		FY 2008/09		FY 2009/10		FY 2010/11		Net Adjustments	
	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts	PYs	Amts
One-Time Costs														
Previous Year's Baseline	0.0	0	0.0	477,550	0.0	0	0.0	0	0.0	0	0.0	0		
(A) Annual Augmentation /(Reduction)	0.0	477,550	0.0	(477,550)	0.0	0	0.0	0	0.0	0	0.0	0		
(B) Total One-Time Budget Actions	0.0	477,550	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	477,550
Continuing Costs														
Previous Year's Baseline	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
(C) Annual Augmentation /(Reduction)	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
(D) Total Continuing Budget Actions	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0
Total Annual Project Budget Augmentation /(Reduction) [A + C]	0.0	477,550	0.0	(477,550)	0.0	0	0.0	0	0.0	0	0.0	0		

[A, C] Excludes Redirected Resources

Total Additional Project Funds Needed [B + D] — 0.0 | 477,550

Annual Savings/Revenue Adjustments

Cost Savings	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0		
Increased Program Revenues		0		0		0		0		0		0		